

RECEIPT



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Date: September 25, 2001

Name: Lisa M. Davis

Signature: *Lisa M. Davis*  
Clifford Chance Rogers & Wells LLP

Docket No. 3499/76

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Andrew J.R. Smith et al.

Filed: May 31, 2001

Group Art Unit: 2161

Serial No: 09/871,427

Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND VALIDATED PRODUCT OFFERING OBJECTS

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NOV 20 2 2001  
GROUP 2161

**REQUEST FOR A CORRECTED FILING RECEIPT**

Commissioner for Patents  
Washington, D.C. 20231

Upon review of the Official Filing Receipt, we have noted that the priority data is not included in the filing receipt. This application claims priority to the following applications:

<u>Serial Number</u>	<u>Country</u>	<u>Filing Date</u>	<u>Priority Claimed</u> <u>(Y/N)</u>
60/223,397	United States	August 4, 2000	N
60/227,162	United States	August 22, 2000	N

It is believed that this error originated in the Patent Office and therefore no fee is required for this correction. However, the Commissioner is hereby authorized to charge any additional fees due to Deposit Account No. 50-0521.

Respectfully submitted,

Date: September 25, 2001

*Mitchell S. Feller*  
Mitchell S. Feller

Reg. No. 42,530

Clifford Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153  
Telephone: (212) 878-8545

Docket No. 3499/76

NYB 1280453.1



# UNITED STATES PATENT AND TRADEMARK OFFICE

SEP 28 2001

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/871,427	08/14/2001	2161	1042	3499-76	10	34	4

CONFIRMATION NO. 8901

## FILING RECEIPT



\*OC000000006422941\*

Clifford Chance Rogers & Wells LLP  
200 Park Avenue  
New York, NY 10166-0153

Date Mailed: 08/14/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

### Applicant(s)

Andrew J.R. Smith, New York, NY;  
Deane Thomas, New York, NY;  
Randy Cowan, New York, NY;

RECEIVED  
NOV 02 2001  
Group 2100

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 08/14/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

Early Publication Request: No

### Title

Method and system for processing raw financial data streams to produce and distribute structured and validated product offering objects

### Preliminary Class

705

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**Data entry by :** KANNO, MESERET

**Team :** OIPE

**Date:** 08/14/2001

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Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

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**NOT GRANTED**

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**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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Bib Data Sheet

CONFIRMATION NO. 8901

<b>SERIAL NUMBER</b> 09/871,427	<b>FILING DATE</b> 05/31/2001 <b>RULE</b>	<b>CLASS</b> 705	<b>GROUP ART UNIT</b> 2161	<b>ATTORNEY DOCKET NO.</b> 3499-76	
<b>APPLICANTS</b> Andrew J.R. Smith, New York, NY; Deane Thomas, New York, NY; Randy Cowan, New York, NY;					
<b>** CONTINUING DATA *****</b> THIS APPLN CLAIMS BENEFIT OF 60/223,397 08/04/2000 AND CLAIMS BENEFIT OF 60/227,162 08/22/2000					
<b>** FOREIGN APPLICATIONS *****</b>					
<b>IF REQUIRED, FOREIGN FILING LICENSE GRANTED</b> <b>** 08/14/2001</b>					
Foreign Priority claimed <input type="checkbox"/> yes <input type="checkbox"/> no 35 USC 119 (a-d) conditions <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after met Allowance Verified and Acknowledged Examiner's Signature _____ Initials _____		<b>STATE OR COUNTRY</b> NY	<b>SHEETS DRAWING</b> 10	<b>TOTAL CLAIMS</b> 34	<b>INDEPENDENT CLAIMS</b> 4
<b>ADDRESS</b> Clifford Chance Rogers & Wells LLP 200 Park Avenue New York ,NY 10166-0153					
<b>TITLE</b> Method and system for processing raw financial data streams to produce and distribute structured and validated product offering objects					
<b>FILING FEE RECEIVED</b> 1172	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:		<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit		



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Group Art Unit: 2161

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For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA  
STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND  
VALIDATED PRODUCT OFFERING OBJECTS

**SUBMISSION OF SUBSTITUTE FORMAL DRAWINGS**

Commissioner for Patents  
Attn: Official Draftperson  
Washington, D.C. 20231

Sir:

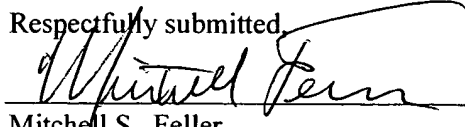
In response to the Notice of Drawing Requirements mailed on August 14, 2001 (copy enclosed), enclosed please find Substitute Formal Drawings illustrating Figs. 1-10 (10 sheets) for the above-identified application and which replace the corresponding originally submitted drawings. No new matter has been added.

It is respectfully requested that these drawings be approved by the Official Draftsman and made of record in the file of this case.

The Commissioner is hereby authorized to charge any additional fees which may be required in connection with this request, or to credit any overpayment to Deposit Account No. 50-0521. A duplicate copy of this transmittal is enclosed.

Date: September 25, 2001

Respectfully submitted,

  
\_\_\_\_\_  
Mitchell S. Feller  
Reg. No. 42,530

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